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PTO/SB/21 (09-04)

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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	10/527,881
	Filing Date	March 15, 2005
	First Named Inventor	Masahiro WAKAMORI, et al.
	Art Unit	2131
	Examiner Name	To Be Assigned
	Attorney Docket No.	MAT-8676US
Total Number of Pages In This Submission		17

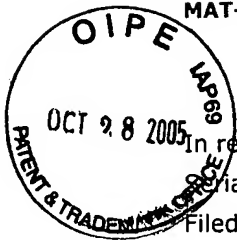
ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
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<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Request for Refund	> <b>Request for Corrected Filing Receipt</b>
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Firm Name	KratnerPrestia		
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Printed Name	Lawrence E. Ashery		
Date	October 26, 2005	Reg. No.	34,515

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Typed or Printed Name	Fran Petrillo	Date	October 26, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Office, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, ALEXANDRIA, VA 22313-1450.**

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MAT-8676US

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Masahiro WAKAMORI

Serial No.: 10/527,881

Group No.: 2131

Filed: March 15, 2005

Examiner: To Be Assigned

For: AUTHENTICATION SYSTEM WITH  
AUTHENTICATOR, SERVER,  
REGISTER AND TERMINAL (AS  
AMENDED)

**Filing Receipt Corrections**  
**Office of Initial Patent Examination**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

**REQUEST FOR CORRECTED FILING RECEIPT**

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.

2. There is an error with respect to the following data:

- ☒ Incorrectly entered  
and/or  
☐ omitted

*Error in*

1. ☐ Applicant's name
2. ☐ Applicants' address
3. ☒ Title
4. ☐ Filing Date
5. ☐ Serial Number
6. ☒ Foreign Application
7. ☐ Other: Applicant

*Correct data*

- 1.
- 2.
3. AUTHENTICATION SYSTEM WITH  
AUTHENTICATOR, SERVER, REGISTER AND  
TERMINAL (Preliminary Amendment filed  
03/15/05)
- 4.
- 5.
6. JAPAN 2003-273315 07/11/2003  
(Declaration/POA filed 03/15/05)
- 7.

3. No fee is due.

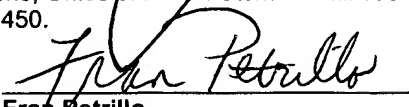
RatnerPrestia  
P. O. Box 980  
Valley Forge, PA 19482-0980  
(610) 407-0700

Respectfully submitted,

  
Lawrence E. Ashery, Reg. No. 34,515

## CERTIFICATE OF MAILING (37 CFR 1.8a)

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Date: **October 26, 2005**  
Fran Petrillo



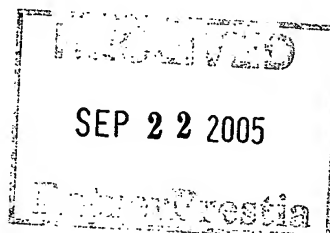
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UNITED STATES PATENT AND TRADEMARK OFFICE

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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/527,881	03/15/2005	2131	1700	MAT-8676US	15	20	7

23122  
 RATNERPRESTIA  
 P O BOX 980  
 VALLEY FORGE, PA 19482-0980



CONFIRMATION NO. 2252

## FILING RECEIPT



\*OC000000016943308\*

Date Mailed: 09/16/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Masahiro Wakamori, Yokohama-shi, JAPAN;  
 Kaoru Morita, Yokohama-shi, JAPAN;

Power of Attorney: The patent practitioners associated with Customer Number 23122.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/JP04/08854 06/17/2004

## Foreign Applications

273315

JAPAN 2003-~~27315~~ 07/11/2003

Projected Publication Date: To Be Determined - pending completion of Security Review

Non-Publication Request: No

Early Publication Request: No

## Title

Authentication system *with Authenticator, Server, Register  
 and Terminal (as amended)*

Application No.:

To Be Assigned

MAT-8676US



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appln. No: To Be Assigned  
Applicants: Masahiro WAKAMORI, et al.  
Filed: Herewith  
Title: AUTHENTICATION SYSTEM WITH AUTHENTICATOR, SERVER,  
REGISTER AND TERMINAL (AS AMENDED)  
TC/A.U.: To Be Assigned  
Examiner: To Be Assigned  
Confirmation No.: To Be Assigned  
Docket No.: MAT-8676US

**PRELIMINARY AMENDMENT**

***Mail Stop PCT***

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Prior to examination, please amend the above-identified application as follows:

- ☒ **Amendments to the Title** begin on page **2** of this paper.
- ☒ **Amendments to the Specification** begin on page **3** of this paper.
- ☒ **Amendments to the Claims** are reflected in the listing of claims which begins on page **4** of this paper.
- ☒ **Amendments to the Drawings** begin on page **11** of this paper and include an attached replacement sheet(s).
- ☐ **Amendments to the Abstract** are on page            of this paper. A clean version of the Abstract is on page            of this paper.
- ☐ **Remarks/Arguments** begin on page            of this paper.

Application No.:

To Be Assigned

MAT-8676US

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**Amendments to the Title:**

Please replace the Title with the following:

AUTHENTICATION SYSTEM WITH AUTHENTICATOR, SERVER, REGISTER AND  
TERMINAL

Application No.:

To Be Assigned

MAT-8676US

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**Amendments to the Specification:**

After the title and before the first paragraph, please insert the following paragraph:

THIS APPLICATION IS A U.S. NATIONAL PHASE APPLICATION OF PCT  
INTERNATIONAL APPLICATION PCT/JP2004/008854.

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**Amendments to the Claims:**

This listing of claims will replace all prior versions, and listings, of claims in the application.

**Listing of Claims:**

- 1 (Original) An authentication system comprising:
  - an authenticator including:
    - an authentication processor to authenticate whether or not an authenticatee is a user previously registered; and
    - a data output part to output an identification data when the authenticatee is authenticated as the user previously registered; and
    - a server including:
      - a credit appraiser to appraise credit of the authenticatee according to the identification data output from the data output part; and
      - an appraisal result output part to output a result in the credit appraiser.
2. (Original) The authentication system of claim 1, wherein the authenticator includes an image reader to input an image data, and the authentication processor authenticates the authenticatee according to the image data input from the image reader.
3. (Original) The authentication system of claim 2, wherein
  - an eye-image of the authenticatee is used as the input image data and the authentication processor includes:
    - an authentication data producer to produce an authentication data according to an iris pattern of the eye image of the authenticatee;
    - a storage to store a login authentication data; and

# COPY

a collator to collate the login authentication data with the authentication data produced according to the eye image.

4. (Original) The authentication system of claim 1, further comprising a terminal comprising a terminal including an appraisal result input part to input the appraisal result output from the server.

5. (Original) The authentication system of claim 4, wherein the authenticator has a data input part to input a data including a data on a product to be transacted, and the terminal has a data output part to output a data including a data on the product to be transacted to the data input part of the authenticator.

6. (Original) An authentication system comprising:

a server including:

a storage to store a login authentication data of a user to be registered and an authentication processor to execute a predetermined authentication process; and

a data output part to output the login authentication data and the authentication processor; and

an authenticator including:

an authentication data input part to input an authentication data of an authenticatee;

an data input part to input the login authentication data and the authentication processor; and

a processor to perform a predetermined processing using the authentication data,

wherein the authenticator reads the authentication processor input from the server into the processor to collate the authentication data of the authenticatee with the login authentication data of the authenticatee using the authentication processor read into the processor.



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7. (Original) The authentication system of claim 6, further comprising a register having a login authentication data input part to input a login authentication data of the user to be registered and a login authentication data output part to output the login authentication data, wherein

the server includes a data input part to input the login authentication data and the authentication processor,

the register outputs the login authentication data input into the login authentication input part from the data output part to the data input part of the server, and

the server stores the login authentication data input into the data input part in the storage.

8. (Currently Amended) The authentication system of ~~one of claim 6 and 7~~, wherein

the server includes an encrypter to encrypt the authentication processor and the login authentication data by a predetermined encrypting method; stores a decrypter to decrypt encrypted the authentication processor and the login authentication data in the storage; and outputs the decrypter and encrypted the authentication processor and the login authentication data; and

the authenticator decrypts the authentication processor and the login authentication data input into the data input part by the decrypter.

9. (Original) An authentication system comprising:

a register including a login authentication data input part to input a login authentication data of an authenticatee and a login authentication data output part to output the login authentication data;

an authenticator including an authentication data input part, data I/O part to input/output a certain data, and a processor to perform a predetermined processing using the authentication data;

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a server including a data input part to input an identification data of the authenticatee from the authenticator and to input the login authentication data from the register, a storage to store the login authentication data and an authentication processor to perform a predetermined authentication processing, a credit appraiser to appraise a credit of the authenticatee using the identification data; and

a terminal including an appraisal result input part to input the appraisal result output from the server, wherein

the authenticator reads the authentication processor input from the server into the processor to collate the authentication data of the authenticatee with the login authentication data by the authentication processor, then outputs the identification data of the authenticatee to the server when the authenticatee is authenticated as a user registered previously;

the server appraises credit of the authenticatee in the credit appraiser to output a result of the appraisal to the terminal.

10. (Original) An authenticator comprising:

an image reader to input an image;

an authentication data producer to produce an authentication data out of the image;

a collator to collate the authentication data with another authentication data;

a data input part to input a data including a login authentication data; and

a processor to perform a predetermined processing using the data input from the data input part and the image, wherein

the processor reads the authentication data producer and the collator from the data input part for the authentication data producer to produce the authentication data correspondent to the image, and

the collator checks to compare the login authentication data with the authentication data correspondent to the image.

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11. (Original) The authenticator of claim 10, wherein  
the login authentication data is encrypted;  
the data input part inputs a decrypter to decrypt the login authentication data; and  
the collator checks to compare the login authentication data decrypted by the decrypter with the authentication data correspondent to the image.
12. (Currently Amended) The authenticator of ~~one of claim 10 and 11~~, wherein  
the image is an eye-image of the authenticatee, and  
the authentication data producer produces the authentication data according to an iris pattern of the eye-image of the authenticatee.
13. (Original) A server comprising:  
a data input part to input data including an authentication data;  
an encrypter to encrypt the authentication data for a login authentication data;  
a storage to store the login authentication data; and  
a data output part to output data stored in the storage.
14. (Original) The server of claim 13, wherein the storage stores:  
an authentication data producer to produce an authentication data using an image,  
a collator to collate the authentication data with another authentication data, and  
a decrypter to decrypt the login authentication data.
15. (Original) A register comprising:

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an image reader to input an image of a user to be registered;

an authentication data producer to produce a certain authentication data using the image;

an individual data input part to input an individual data of the user to be registered; and

a data output part to output the authentication data and the individual data.

16. (Original) The register of claim 15, wherein

the image is an eye-image of the user to be registered, and

the authentication data producer produces the authentication data according to an iris pattern of the eye-image of the user to be registered.

17. (Original) A terminal comprising:

an appraisal result input part to input a credit appraisal of a user to purchase a product; and

a data output part to output a data including a data showing whether or not the product is accepted to be purchased based on a result of the credit appraisal.

18. (Original) The terminal of claim 17, wherein the data output part outputs the data including the data showing whether or not the product is accepted to be purchased using an infrared ray.

19. (New) The authentication system of claim 7, wherein

the server includes an encrypter to encrypt the authentication processor and the login authentication data by a predetermined encrypting method; stores a decrypter to decrypt encrypted the authentication processor and the login authentication data in the storage; and outputs the decrypter and encrypted the authentication processor and the login authentication data; and

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the authenticator decrypts the authentication processor and the login authentication data input into the data input part by the decrypter.

20. (New) The authenticator of claim 11, wherein

the image is an eye-image of the authenticatee, and

the authentication data producer produces the authentication data according to an iris pattern of the eye-image of the authenticatee.

Application No.:

To Be Assigned

MAT-8676US

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**Amendments to the Drawings:**

Please delete pages 14/15 and 15/15 entitled "Reference numerals in the drawings" in their entirety.

Respectfully submitted,

Lawrence E. Ashery, Reg. No. 34,515  
Attorney for Applicants

LEA/fp

Dated: March 15, 2005

P.O. Box 980  
Valley Forge, PA 19482-0980  
(610) 407-0700

The Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. **18-0350** of any fees associated with this communication.

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**Date of Deposit: March 15, 2005**

I hereby certify that this paper and fee are being deposited, under 37 C.F.R. § 1.10 and with sufficient postage, using the "Express Mail Post Office to Addressee" service of the United States Postal Service on the date indicated above and that the deposit is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
KATHLEEN LIBBY

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PTO/SB/01.02 & 04 COMBINED (08-03) AW (10-03)

**DECLARATION/  
POWER OF ATTORNEY  
FOR UTILITY OR DESIGN  
PATENT APPLICATION**

Attorney Docket Number:

First Named Inventor:

Masahiro WAKAMORI

**COMPLETE IF KNOWN**

Application Number:

Filing Date:

Art Unit:

Examiner Name:

☒ Declaration  
Submitted  
With Initial  
Filing  
(37 CFR 1.63)

☐ Declaration  
Submitted after Initial  
Filing (surcharge  
(37 CFR 1.16 (e))  
required)

☐ Supplemental  
Declaration  
(37 CFR 1.67)

**I hereby declare that:**

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

AUTHENTICATION SYSTEM WITH AUTHENTICATOR, SERVER, REGISTER AND TERMINAL

(Title of the Invention)

the specification of which

☐ is attached hereto

**OR**

☒ was filed on (MM/DD/YYYY) 06/17/2004 as United States Application or PCT International Application Number PCT/JP2004/008854

and was amended on (MM/DD/YYYY) \_\_\_\_\_ (if applicable). I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
2003-273315	Japan	07/11/2003	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet attached hereto.

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PTO/SB/01. 02 & 04 COMBINED (08-03) AW (10-03)

## Declaration/Power Of Attorney for Utility or Design Patent Application (continued)

I hereby appoint:

☒ **Practitioners at Customer Number 23122**

**OR**

☐ Practitioner(s) named below:

Name

Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Direct all correspondence to:

☒ Practitioners Customer Number listed above; **OR**

☒ Correspondence Address Below

Name: RatnerPrestia

Address: P. O. Box 980

City: Valley Forge

State: PA

Zip: 19482

Country: USA

Telephone: (610) 407-0700

Fax: (610) 407-0701

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**Name of Sole or First Inventor:**

☐ A Petition has been filed for this unsigned inventor.

Given Name (first and middle (if any))

Family Name or Surname

Masahiro

WAKAMORI

Inventor's Signature

*Masahiro Wakamori*

Date: March 2, 2005

Residence: City: Yokohama-shi

State: Kanagawa

Country: Japan

Citizenship: Japanese

Mailing Address: 115-3-510

Mailing Address: Terayama-cho, Midori-ku

City: Yokohama-shi

State: Kanagawa

Zip: 226-0013

Country: Japan

☒ Additional inventors are listed on the next page.



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## Declaration/Power Of Attorney for Utility or Design Patent Application (continued)

<b>Name of Second Inventor:</b>			<input type="checkbox"/> A Petition has been filed for this unsigned inventor.		
Given Name (first and middle (if any))			Family Name or Surname		
Kaoru			MORITA		
Inventor's Signature <u>Kaoru Morita</u>				Date: <u>March 2, 2005</u>	
Residence: City: Yokohama-shi		State: Kanagawa		Country: Japan	
Citizenship: Japanese					
Mailing Address: 4-27-24					
Mailing Address: Okamura, Isogo-ku					
City: Yokohama-shi		State: Kanagawa		Zip: 235-0021	
Country: Japan					
<b>Name of Third Inventor:</b>			<input type="checkbox"/> A Petition has been filed for this unsigned inventor.		
Given Name (first and middle (if any))			Family Name or Surname		
Inventor's Signature _____				Date: _____	
Residence: City:		State:		Country: .	
Citizenship:					
Mailing Address:					
Mailing Address:					
City:		State:		Zip:	
Country:					
<b>Name of Fourth Inventor:</b>			<input type="checkbox"/> A Petition has been filed for this unsigned inventor.		
Given Name (first and middle (if any))			Family Name or Surname		
Inventor's Signature _____				Date: _____	
Residence: City:		State:		Country:	
Citizenship:					
Mailing Address:					
Mailing Address:					
City:		State:		Zip:	
Country:					
<input type="checkbox"/> Additional inventors are listed on Supplemental Sheet(s).					